

CHAPTER 4 EMERGENCY OPERATIONS

Section I - General

4-1. General. See ER 500-1-1, Chapter 4, for pertinent policy information.

4-2. Authorities. The authority to perform Emergency Operations, to include Response Operations and Post Flood Response activities, is provided by PL 84-99, and implemented by ER 500-1-1 and this pamphlet. Funding requirements are addressed in ER 11-1-320, Figure 2-1 of this pamphlet, and throughout this chapter. Where other Federal agencies have adequate emergency authorities, or when other USACE authorities exist that can adequately address the situation, USACE assistance under PL 84-99 is not permitted.

4-3. Operational Procedures - General.

a. Levels of EOC Activation. EOC's are activated commensurate with mission requirements. Commanders may direct subordinate elements to increase or decrease the element's level of activation. All changes in level of activation will be immediately reported to higher headquarters and the UOC via Situation Report (SITREP).

(1) Level I - Normal Operations. This level is for normal, day to day operations. The EOC is prepared for activation to a higher level.

(2) Level II - Emergency Watch. This level represents an augmentation to the normal Emergency Management staff, and/or extended hours of operation for the EOC. Level II activations are typical of responses to watches and warnings, and other disaster activities that do not merit a higher level of activation.

(3) Level III - Partial Activation. This level represents partial activation of the EOC in response to a threat situation, ongoing operation, or intensive recovery activities. Level III activations typically have the EOC staffed for 10 or more hours per day, seven days per week. CAT representatives are present on at least a part time basis.

(4) Level IV - Full Activation. This level represents full activation of the EOC in response to a threat situation or ongoing operation. The EOC is staffed on a 24-hour per day, seven-day per week basis. Most or all CAT representatives are present on a full time or part time basis.

b. Declaration of Emergency. District commanders will issue a Declaration of Emergency in order to implement their response operations and Post Flood Response authorities. A Declaration of Emergency is required in all cases where USACE activities

will be funded under Class 210 (except for Support to Victim Districts) or Class 230 criteria. Declarations of Emergency are not issued at MSC level or at HQUSACE.

(1) The Declaration of Emergency may initially be verbal, but must be made in writing and reported in the district's SITREP within 24 hours of the declaration.

(2) Authority to issue a Declaration of Emergency is delegated to Deputy District Engineers, and all supervisors in the chain from the District Commander to the Chief of Emergency Management, inclusive. For purposes of a Declaration of Emergency, "Chief of Emergency Management" includes an acting Chief of Emergency Management. District commanders may withhold authority to issue a Declaration of Emergency. Withholding of authority may be done either by written correspondence, or via a published OPLAN.

(3) A general format for a Declaration of Emergency is provided at Figure 4-1.

c. Field Investigations (Class 210 and Class 230). The concept of USACE field investigations during the response phase applies to investigations prior to, during, and after a flood or coastal storm or other disaster. Field investigations may be conducted at the MSC or district's initiative, or may be conducted based on a request by state or local officials. In either case, there must be sufficient reason to believe that further FCCE-funded Corps activity or effort will result from the investigation, e.g., the need for USACE floodfighting effort to supplement state and local response efforts. Field investigation funding is not to be used for data gathering activities or general studies efforts that are traditionally funded by the General Investigations appropriation.

(1) SITREP Requirements. A SITREP is required for all field investigations. This either may be a separate, independent SITREP, or may be an additional item included in another SITREP.

(2) Post Flood Response Situations. Field investigations for potential Post Flood Response Assistance are conducted during or immediately following the flood or coastal storm event. (Post Flood Response Assistance is not authorized for other types of disasters.) The purpose of the field investigation is to enable USACE to prepare for and conduct an expeditious response to the governor's request for assistance. Field investigations for potential or expected Post Flood Response Assistance may occur prior to receipt of the Governor's request for assistance if requested by an appropriate State official.

d. Technical Assistance (Class 210). USACE emergency operations technical assistance for any disaster consists of providing review and recommendations, and technical expertise, in support of tribal, state, and local efforts. The following are examples of technical assistance:

(1) Providing experienced personnel at the disaster site to give guidance on flood fight techniques and emergency construction methods.

(2) Providing personnel to inspect existing flood protection projects and/or structurally threatened dams to identify problem areas and recommend corrective measures.

(3) Providing hydraulic or hydrologic analysis, geotechnical evaluations, topography and stream data, maps, and historic flood or storm information.

e. Direct Assistance (Class 210). Emergency operations direct assistance under PL 84-99 is limited to flooding and coastal storm-related emergencies only. As an exception to this limitation, USACE may always use its resources to assist in rescue operations to save lives in any disaster situation. Any USACE equipment and personnel used in a lifesaving rescue operation should be directed by a local official such as a law enforcement officer or firefighter, or other officials duly appointed to conduct rescue operations.

f. Reporting (Class 210 and 230). Reporting will be done in accordance with Section V of this chapter.

g. EMHV Requirements. USACE personnel arriving in the disaster area within two weeks of the onset of the disaster must bring appropriate EMHV items with them from their assigned districts. Follow-on personnel arriving after the first two weeks should bring EMHV items with them if available. The supported district must plan to issue EMHV as needed in the disaster area.

h. Support to Victim Districts (Class 210). If a supporting district has one or more Planning and Response Teams (PRT's), or other supporting personnel, on "alert" status, or a movement order for such personnel has been ordered, any support needed at the supporting district to assist their departure/deployment will be funded under Class 210 by the supporting district.

4-4. Funding - General. ER 11-1-320 prescribes general funding procedures for PL 84-99 emergency operations Category 200 activities.

a. Cost Accountability. All costs associated with emergency operations will be maintained separately. MSC's and districts may not reprogram FCCE funds except as specifically allowed in ER 11-1-320 and ER 11-2-201. Allowable FCCE costs include the following activities:

(1) USACE labor costs, including regular time, overtime, hazard pay, and shift differential pay. (Refer to ER 11-1-320 regarding specific details for General Expense-funded personnel.) FCCE funds will be used for labor that supports the EOC, disaster field teams, and other personnel directly supporting emergency operations. Water control personnel, and project personnel accomplishing emergency operations at USACE-operated and maintained projects or projects under construction, will not be funded with FCCE funds.

(2) Emergency hire of skilled or unskilled workers, normally for one month or less.

(3) Travel and/or per diem for USACE personnel or emergency hired personnel.

(4) Transportation costs of supplies and equipment.

(5) Contract costs.

(6) Costs incurred by other DOD agencies, over and above their normal operating expenses, for their support to USACE.

(7) Purchase of supplies and materials.

(8) Replenishment of used stockpiled items.

(9) Rental or lease of field offices.

(10) Equipment charges.

b. Fiscal Closeout. Emergency Management elements will ensure that actions for closing out emergency activities are accomplished as specified in ER 11-1-320. Districts will submit a SPOTREP or SITREP for each fiscal closeout completed. Fiscal closeouts will be accomplished within the following time frames:

(1) Class 210 Activities: Within 75 days of return of the EOC to Level I (normal) activations.

(2) Class 220 Activities. Within 30 days of submission of the After Action Report.

(3) Class 230 Activities. Within 70 days of the receipt of the Governor's request for Post Flood Response assistance.

(4) Class 240 and Class 250 Activities. Within 60 days of completion of funded activities.

CEXXX-CO-E

28 June 20xx

MEMORANDUM FOR See Distribution

SUBJECT: Declaration of Emergency: June 20xx Flood, Xxxxx District, Elizabeth River and Tributaries

1. In accordance with ER 500-1-1, a Declaration of Emergency has been declared to exist in the Xxxxx District as of 1200 hours 28 June 20xx.

2. Level of Activation. The Emergency Operations Center is activated at Level II effective 281200Jun20xx. The EOC will be manned daily from 0600 - 1800 IAW District OPLAN 2001-01 by all Level II-designated personnel. During unmanned periods, telephone messages will be received by the duty officer via the 24-hour emergency number (899) 555-1234. The Crisis Management Team's initial meeting is set for 0900 hours 29 June in the EOC.

3. Expenses incurred as a result of this Emergency will be those involved with the flood operation, i.e., EOC operations, issuance or transportation of sandbags, forecasting, flood sector engineers, or flood reconnaissance. No charges will be made prior to the date of this declaration. Costs relating to Dam or Lake observation must be charged to O&M work items.

LOCATION	CATEGORY CODE / CATEGORY ELEMENT / WORK ITEM		
Elizabeth River & Tribs	021000	BBA00	002LSL

4. Paid overtime is authorized under the following criteria:

- a. All personnel, regardless of grade, engaged in flood emergency operations may be paid overtime.
- b. Earning of GS employees exempt from FLSA are subject to limitation contained in 5 USC 6547. Earnings under the provision of FLSA are not subject to the aforementioned limitation.
- c. A copy of this order, attached to DA Form 5172-R, Overtime Request and Authorization, overrides the requirements outlined in Xxxxx District Regulation 690-1-600, paragraph 4, dated 1 May 1999.

GEORGE H. GABION
Colonel, EN
Commanding

DISTRIBUTION:
as required

Figure 4-1. Format for Declaration of Emergency

Section II. Response Operations - Floods and Floodfights

4-5. Operational Procedures - Floods and Floodfights.

a. USACE Assistance. USACE emergency assistance during floods and coastal storms will be of a temporary nature to meet the immediate threat, and will supplement tribal, state, and local efforts. USACE efforts are not intended to provide permanent solutions to flood problems, and are not intended to overcome the lack of adequate flood protection in a locality.

b. Floodfights. USACE floodfights will be planned and conducted in accordance with sound principles of engineering judgement and economic sense.

c. Direct Assistance. Direct assistance may include, but is not limited to, the issuance of supplies, the loan of equipment, rescue operations, conducting flood fight operations, and contingency contracting. All loaned supplies and equipment will be hand receipted to the receiving agency. A CA is required for emergency assistance requiring USACE contingency contracting, or when USACE force labor accounts are used. See Figure 4-2 for the CA for Emergency Assistance.

(1) Supplies and Equipment. Issuance of supplies and equipment to non-Federal interests is permitted only in declared emergencies (reference paragraph 4-3.b., above). Government supplies and equipment should be made available only if the arrival or non-availability of local supplies and equipment will cause delays in an effective response effort. During emergency situations, Class 210 funding will be used to purchase or rent materials and equipment, and to replace items issued from disaster preparedness and other stocks. USACE supplies (e.g., sandbags or plastic sheeting) and equipment (e.g., pumps and generators) may be loaned to state and local officials for use in supplementing their flood fighting operations. All such supplies and equipment will be hand receipted to the receiving agency. The hand receipt will contain an agency billing address, and a statement similar to the following: *"I understand that my agency will be required to return loaned equipment and reimburse the US Army Corps of Engineers for expended supplies. Reimbursement may be in the form of (a) replacement in kind with an equivalent quality to those issued; (b) paying the cost for the Corps of Engineers to replace the supplies with those of an equivalent quality; or (c) returning in good, usable condition those supplies not used; or (d) any combination of the above. I understand that my agency will be billed for supplies not replaced, and agree to remit payment within 30 days of the bill date."*

(a) All unused stocks loaned to local interests will be returned to USACE when the operation is complete.

(b) District commanders may waive loan replacement requirements for expendable supplies (sandbags, plastic sheeting, etc.) when a Presidential disaster or emergency declaration under the Stafford Act has been made. No waivers are permitted for loaned equipment. No waivers are permitted for supplies if no Presidential disaster or emergency declaration is made, unless an exception is approved by HQUSACE.

(c) Local interests will return loaned equipment in the same condition as it was when lent. If equipment is damaged or lost, either the equipment will be replaced in kind, or reimbursement made to USACE by the hand-receipting agency.

(2) Flood Fight Operations. USACE may direct flood fight operations upon request of an appropriate state or local official. However, legal responsibility remains with the requesting state or local official/agency.

(3) Contingency Contracting. USACE may award contracts for emergency operations. Contingency contracting may be equipment rental, fixed price construction contract, Job Order Contracts, etc. Districts are encouraged to use innovative methods, such as Indefinite Delivery/Indefinite Quantity (ID/IQ) contracts, to improve response capabilities. Examples of allowable types of emergency work include the construction of temporary levees; the repair, strengthening, or temporary raising of levees or other flood control works; removal of stream obstructions that may induce localized flooding; and removal of debris under bridges that may induce localized flooding.

(4) Supply Procurement. Before contracting for supplies, particularly sandbags, from commercial sources during a flood fight, USACE stockpiles, and GSA or Defense Logistics Agency (DLA) supply sources should be used if timely delivery can be made. Good forecasting and anticipation of upcoming events is critical during a flood fight, because of substantial cost reductions available when delivery can be made two or three days out rather than requiring one-day delivery.

d. Operations in Support of Other Commands. Class 210 funds may be requested by the supporting command for administrative support of deploying personnel. Class 210 funds may be used to prepare orders, provide travel assistance, and perform closeout activities.

4-6. Funding. Funding for all aspects of floodfights will be in accordance with paragraph 4-4, above. All Class 210 funds for flood fights use CWIS number 05480.

4-7. Cooperation Agreement - Emergency Assistance.

a. Requirement. A Cooperation Agreement is required whenever direct Emergency (Flood Fight) Assistance is provided to a state, tribal, or local entity. The CA format for

Emergency Assistance is at Figure 4-2. Paragraph 2-3 above, and paragraph 2-4 of ER 500-1-1 will be complied with for all CA's.

b. Technical Assistance and Rescue Operations. No CA is required if only rescue operations and/or technical assistance for floodfighting are provided.

COOPERATION AGREEMENT BETWEEN THE UNITED STATES OF AMERICA and for EMERGENCY ASSISTANCE (FLOOD or COASTAL STORM)	
<p>THIS AGREEMENT, entered into this ____ day of _____, 20____, by and between THE DEPARTMENT OF THE ARMY (hereinafter referred to as the "Government") acting by and through the District Engineer, _____ District, U.S. Army Corps of Engineers, and the _____ [PUBLIC SPONSOR], (hereinafter referred to as the "Public Sponsor"), acting by and through _____ [TITLE OF PERSON SIGNING THIS AGREEMENT].</p>	
<p>WITNESSETH THAT:</p> <p>WHEREAS, 33 USC 701n authorizes the Chief of Engineers to flood fight and perform rescue operations.</p> <p>WHEREAS, the Public Sponsor has requested assistance under 33 USC 701n, and the Public Sponsor qualifies for such assistance in accordance with the established policies of the U.S. Army Corps of Engineers.</p> <p>WHEREAS, the Public Sponsor hereby represents that it has the authority and legal capability to furnish the non-Federal cooperation hereinafter set forth and is willing to participate with the terms of this agreement.</p> <p>NOW, THEREFORE, the parties agree as follows:</p> <ol style="list-style-type: none">1. The Government will perform the work described in its scope of work (attached) that is made part of this agreement.2. The Public Sponsor will:<ol style="list-style-type: none">a. Provide without cost to the Government all lands, easements, rights-of-ways, relocations, and borrow and dredged or excavated material disposal areas necessary for the work.b. Hold and save the Government free from damages arising from construction, operation, maintenance, repair, replacement, and rehabilitation of the work, except damages due to the fault or negligence of the Government or its contractors.c. Operate, maintain, repair, replace, and rehabilitate the completed work in a manner satisfactory to the Government.d. Remove, at no cost to the Government, all temporary work constructed by the Government.3. (Add others as applicable)4. ATTACHMENTS:<ol style="list-style-type: none">a. Exhibit A - Government Scope of Work.b. (Add others as applicable)	
<p>IN WITNESS WHEREOF, the parties hereto have executed this agreement of the day and year first above written.</p>	
<p>THE DEPARTMENT OF THE ARMY</p> <p>BY: _____</p> <div style="margin-left: 100px;">[SIGNATURE] [TYPED NAME] [TITLE IN FULL]</div> <p>ADDRESS: _____</p>	<p>THE [NAME OF PUBLIC SPONSOR]</p> <p>BY: _____</p> <div style="margin-left: 100px;">[SIGNATURE] [TYPED NAME] [TITLE IN FULL]</div> <p>ADDRESS: _____</p>

Figure 4-2. Cooperation Agreement for Emergency Assistance

Section III. Response Operations - Disasters Other Than Floods

4-8. Operational Procedures - Other than Floods.

a. PL 84-99 Authority. Under PL 84-99 authority, operations during non-flood emergencies are limited to activation of EOC's, rescue operations, the provision of limited technical assistance, and liaison activities. These activities are properly funded under Class 210 until the situation clarifies, and disengagement of USACE resources or the identification of more appropriate USACE resources and funding can be made.

b. Stafford Act/Federal Response Plan. EOC operations in support of FEMA mission assignments are funded under Class 210.

(1) Class 210 funds may not be used for deployment or prepositioning of USACE personnel and/or equipment in anticipation of a FEMA mission assignment.

(2) Class 210 funds may be used for USACE personnel that deploy *for training purposes* in support of a FEMA mission assignment. This would normally be limited to newly designated ESF-3 team leaders/assistant team leaders, and personnel newly assigned to a position that requires them to be familiar with ROC or DFO operations. Use of Class 210 funds for this purpose requires HQUSACE (CECW-OE) approval.

4-9. Funding - Other Than Floods. Funding will be in accordance with paragraph 4-4 above, and ER 11-1-320. All Class 210 funds for non-flood related emergencies will use CWIS number 05480.

4-10. Cooperation Agreements - Other Than Floods. Because USACE can provide only rescue operations and technical assistance under its PL 84-99 authority for non-flood related disasters, no CA's are required for non-flood response operations.

Section IV. Post Flood Response

4-11. Operational Procedures - Post Flood Response.

a. Coordination Requirement. All potential or planned Post Flood Response Assistance must be telephonically coordinated between the MSC and HQUSACE (CECW-OE). After coordination with HQUSACE, all potential or planned Post Flood Response Assistance must be coordinated by the MSC with the appropriate FEMA region prior to execution of the work.

b. Governor's Request. A written request from the governor to the district commander for Post Flood Response Assistance will be provided concurrently with or immediately after

the governor's request to FEMA for an emergency or disaster declaration. The district will immediately notify the MSC and HQUSACE of receipt (or anticipated receipt) of a governor's request for Post Flood Response Assistance. After telephonic coordination with HQUSACE (CECW-OE), approval level for Post Flood Response Assistance is the District Commander or Acting District Commander. Approval may not be delegated.

c. Types of Post Flood Response Assistance. Post Flood Response Assistance may be technical assistance or direct assistance. Examples of actions accomplished under Post Flood Response direct assistance include:

(1) Clearance of debris necessary to reopen critical transportation routes. (For Post Flood Response Assistance, "clearance" is defined as moving the debris to the side of the road. It does not include hauling the debris to a landfill or disposal area, unless immediate removal is necessary to prevent endangerment to public health and safety.)

(2) Temporary restoration of critical transportation routes or public services or facilities.

(3) Clearance of debris from under bridges or in channels or culverts, when flooding of or extensive damage to public facilities would result if the debris were not removed. If the threat of flooding (from either riverine flow or rainfall) has abated, then such debris clearance is not permitted.

(4) Other assistance required to prevent immediate loss of life, as determined by the MSC or district commander.

(5) Other assistance required to prevent immediate extensive damage to public property, as determined by the MSC or district commander.

d. Field Investigations. Field investigations for potential Post Flood Response Assistance may be conducted during or immediately following the disaster event to enable an expeditious response to the governor's request for assistance. Field investigations for potential or expected Post Flood Response Assistance may occur prior to receipt of the Governor's request for assistance if requested by an appropriate State-level official.

e. The 10-Day Limit. Post Flood Response Assistance is statutorily limited to a 10-day period from the date of the Governor's request to FEMA for an emergency or disaster declaration under authority of the Stafford Act. The day of receipt of the governor's request for Post Flood Response Assistance is considered to be Day Zero. All Post Flood Response Assistance, to include contracted activities, must cease by 2400 local time of Day Ten.

4-12. Funding - Post Flood Response. All EOC activities will continue to be funded under Class 210. All activities that are directly related to the Post Flood Response effort will be funded under Class 230, in accordance with Chapter 3 of ER 11-1-320. This includes field investigations that are done based on anticipated tribal or State requests for Post Flood Response Assistance.

4-13. Cooperation Agreement - Post Flood Response.

a. Requirement. A Cooperation Agreement is required whenever direct Post Flood Response Assistance is provided to a state, tribal, or local entity. The CA format for Post Flood Response Assistance is at Figure 43. Paragraph 2-3 of this pamphlet, and paragraph 2-4 of ER 500-1-1 will be complied with for all CA's.

b. Technical Assistance. The provision of only technical assistance for Post Flood Response does not require a CA.

**COOPERATION AGREEMENT BETWEEN
THE UNITED STATES OF AMERICA
and**

**_____ for
POST FLOOD RESPONSE ASSISTANCE (FLOOD or COASTAL STORM)**

THIS AGREEMENT, entered into this ____ day of _____, 20____, by and between THE DEPARTMENT OF THE ARMY (hereinafter referred to as the "Government") represented by the District Engineer, _____ District, U.S. Army Corps of Engineers, and the _____ [PUBLIC SPONSOR], (hereinafter referred to as the "Public Sponsor"), represented by _____ [TITLE OF PERSON SIGNING THIS AGREEMENT] acting in accordance with the request of the Governor of the State.

WITNESSETH THAT:

WHEREAS, pursuant to 33 USC 701n, in any case in which the Chief of Engineers is otherwise performing work in an area for which the Governor of the affected State has requested a determination that an emergency exists or a declaration that a major disaster exists under The Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Chief of Engineers is authorized to perform on public and private lands and waters for a period of ten days following the Governor's request any emergency work made necessary by such emergency or disaster which is essential for the preservation of life and property, including, but not limited to, channel clearance, emergency shore protection, clearance and removal of debris and wreckage endangering public health and safety, and temporary restoration of essential public facilities and services; and,

WHEREAS, the Governor has requested the Government to undertake authorized Post Flood Response activities in accordance with 33 U.S.C. 701n, and established policies of the U.S. Army Corps of Engineers; and,

WHEREAS, the Public Sponsor hereby represents that it has the authority and legal capability to furnish the non-Federal cooperation hereinafter set forth and is willing to participate in accordance with the terms of this Agreement;

NOW, THEREFORE, the parties agree as follows:

1. The Government will perform the work described in its scope of work (attached) that is made part of this agreement.

Figure 4-3. Cooperation Agreement for Post Flood Response Assistance

2. The Public Sponsor will:

a. Provide without cost to the Government all lands, easements, rights-of-ways, relocations, and borrow and dredged or excavated material disposal areas necessary for the work.

b. Hold and save the Government free from damages arising from construction, operation, maintenance, repair, replacement, and rehabilitation of the work, except damages due to the fault or negligence of the Government or its contractors.

c. Operate, maintain, repair, replace, and rehabilitate the completed work in a manner satisfactory to the Government.

d. Remove, at no cost to the Government, all temporary work constructed by the Government.

3. (Add others as applicable)

4. ATTACHMENTS:

a. Exhibit A - Government Scope of Work.

b. (Add others as applicable)

IN WITNESS WHEREOF, the parties hereto have executed this agreement of the day and year first above written.

THE DEPARTMENT OF THE ARMY

THE [NAME OF PUBLIC SPONSOR]

BY: _____

BY: _____

[SIGNATURE]
[TYPED NAME]
[TITLE IN FULL]

[SIGNATURE]
[TYPED NAME]
[TITLE IN FULL]

ADDRESS:

ADDRESS:

**Figure 4-3. Cooperation Agreement for Post Flood Response Assistance
(Continued)**

Section V. Reporting

4-14. Overview.

a. Need. Timely, accurate reporting is necessary to allow the Commander, USACE, to direct and execute the Command's mission. In addition, information is necessary to allow the Commander, USACE, and the senior USACE staff to work with FEMA, other Federal agencies, and Congressional offices regarding the disaster event. Every emergency situation with the potential for USACE involvement, or which may result in regional or national media attention involving USACE, will be reported immediately. The fastest means of reporting that is available will be used to initially notify HQUSACE. This is normally telephonic reporting to the UOC. ENGLink will be used for subsequent reporting.

b. Reports Required.

- (1) Situation Report (SITREP). See paragraph 4-15. (RCS CECW-O-65).
- (2) Disaster Recovery SITREP. See paragraph 4-16. (RCS CECW-O-65).
- (3) Spot Report (SPOTREP). See paragraph 4-17.
- (4) After Action Report (AAR). See paragraph 4-18.

4-15. Situation Reports (SITREP's).

a. General. The SITREP will be the official source for reporting information pertaining to the event.

(1) SITREP's will be submitted on all potential and actual disasters with USACE involvement.

(2) SITREP's will be submitted on all natural or technological emergencies with potential USACE involvement, or that may produce regional or national media interest in USACE operations, activities, or facilities.

(3) SITREP's will be submitted whenever there is a change in EOC activation level.

(4) SITREP's may be submitted in any other case at the discretion of the MSC/district.

b. SITREP Format. SITREP's will follow the format outlined in Figure 4-4, with applicable information provided under appropriate sections and appendices.

(1) The format for mandatory appendices to the basic SITREP are at Figures 4-5 through 4-7.

(2) The formats for "as needed" appendices D and E to the basic SITREP are at Figures 4-8 and 4-9. All additional appendices will be appropriately formatted for the information presented.

c. Methods of Submitting SITREP's. The principal means of providing SITREP's will be ENGLink. Email or high speed digital facsimile (fax) will normally be the secondary means of transmitting SITREP's (and other reports). Fax will be the primary means of transmitting maps and other information not suitable to electronic mail. The sending element, via telephonic confirmation, is responsible for ensuring that transmitted critical information has been received.

d. Notification and SITREP Submissions for Major Emergencies. Initial notification of a major emergency event will be provided telephonically and followed by a SITREP based on the best information available. These SITREP's will not be delayed in order to collect and compile additional data. Supplemental spot reports will be provided as conditions warrant and in accordance with HQUSACE reporting requirements.

e. Frequency of Reporting.

(1) During major events with widespread impacts, or any event with significant USACE involvement, daily SITREP's will be submitted.

(2) When the situation has stabilized, and response operations have essentially concluded, SITREP's will be submitted on at least a weekly basis. The weekly SITREP's will be submitted on the first business day of the week. See paragraph 4-16 for continuation of SITREP's via the Disaster Recovery SITREP.

f. SITREP's for Post Flood Response Situations. SITREP's on situations where Post Flood Response Assistance is requested or anticipated will address the extent of assistance required, FEMA coordination, state and local actions, and planned USACE activities. Follow-on reports should address status of efforts, summary of actions accomplished (USACE, other Federal, state and local), and unmet requirements.

g. SITREP's During Advance Measures Operations. When Advance Measures projects are being investigated, and when Advance Measures projects using a temporary standard of construction (the typical case) are being executed, SITREP's will be submitted on a daily basis. When Advance Measures projects using a permanent standard of construction are being executed, or when the Advance Measures project consists primarily of long term technical assistance, SITREP's will be submitted on at least a weekly basis, on the first

business day of the week. SITREP's will address project progress/completion status, impediments to project completion, results of investigations, the projection for when floodfight operations may need to begin, and other pertinent information.

h. Reporting During Non-Duty Hours. During non-duty hours, initial reports on emergencies or significant changes in conditions of ongoing emergencies that the Commander, USACE or staff need to be immediately aware of will be provided by telephone, through command channels, to the UOC Chief (CECS-OPS) or the Chief, Civil Emergency Management Branch, or the designated duty officer at their home telephone or pager number. A follow-up SITREP will be provided the next business day.

i. Distribution of Reports. MSC commanders will furnish information copies of situation reports on events to the CONUSA, unified, or designated commander, as well as the appropriate FEMA Regional Director(s) using the fastest electronic means available. Other concerned officials should be similarly informed. District commanders will furnish information copies of SITREP's to state emergency management agencies and other agencies and officials, as required. When appropriate, SITREP's will be furnished to interested local congressional offices.

j. Termination of SITREP Submissions. If no Disaster Recovery SITREP's are required in accordance with paragraph 4-16. below, SITREP submissions can be terminated upon fiscal closeout of the funds received for the event.

BASIC SITREP FORMAT	
1. SITREP:	The word "SITREP" followed by the District name, date, local time, and Zulu Date-Time-Group (DTG)
2. DISASTER NR.:	The assigned number for this disaster event.
3. CATEGORY:	<p>Short description of the type of SITREP. Examples:</p> <ul style="list-style-type: none"> - Storm - Post Flood Response* - Earthquake - Tornadoes - Support to Law Enforcement - Mobilization** - Flood (or Potential Flood) - Hurricane (or Tropical Storm) - Volcano - Pollution Spill - Support to Military Operation <p><i>*Used only if there were no SITREP's for the associated storm or flood.</i> <i>**Requires HQUSACE authorization to use.</i></p>
4. EVENT NAME:	The assigned name of the event.
5. SEQUENCE NR.:	Use "Initial" for the first report. Subsequent reports will begin with "2" and be sequentially numbered thereafter. For the last report, use the next sequential number followed by "and Final". If Disaster Recovery Reports will follow, use the next sequential number followed by "Disaster Recovery SITREP's to follow."
6. SITUATION:	A summary of the situation that answers the questions what, where, and when. This paragraph may be a narrative or in bullet format.
7. PAST 24:	A narrative or bullet form statement of USACE actions, activities, and situations that have occurred in the previous 24 hours, or since the last SITREP.
8. NEXT 24:	A narrative of planned and anticipated actions for the next 24 hours or the next reporting period.
9. OTHER EFFORTS:	Commander's Assessment, if needed. A summarization of efforts taken by other agencies, state/local governments, and organizations. Examples include FEMA, military agencies, Red Cross, etc.
10. APPENDICES - MANDATORY	<ul style="list-style-type: none"> A. FCCE Funds B. FEMA Funds (by mission assignment) C. Personnel
11. APPENDICES - AS NEEDED	<ul style="list-style-type: none"> D. Reservoir Status E. River Stage Data F. Weather and Rainfall Data (actual and/or projected) G. FEMA Mission Assignments - Operational Report H. FCW Rehab Status I. - Z. Others
Figure 4-4. Format for Situation Report	

FCCE FUNDS - APPENDIX A				
CLASS	FUNDS PROVIDED	FUNDS OBLIGATED	FUNDS EXPENDED	REMARKS
210				
220				
230				
240				
250				
310				
320				
330				
340				
370				
410				
420				
430				
510				
520				
Figure 4-5. Format for Appendix A to Basic SITREP				

FEMA FUNDS - APPENDIX B					
MISSION NR.	MISSION NAME	FUNDS RECEIVED	FUNDS OBLIGATED	FUNDS EXPENDED	REMARKS
Figure 4-6. Format for Appendix B to Basic SITREP					

PERSONNEL - APPENDIX C						
MSC/DISTRICT ORGANIC ASSETS		TDY PERSONNEL (NONORGANIC)				
MIL (OFF/WO/ENL)	CIV	249TH EB (OFF/WO/ENL)	MIL (OFF/WO/ENL)	CIV, SAME MSC	CIV, OTHER MSC	OTHER
REMARKS: (Note significant changes in personnel numbers, arrival/departure of PRT's, etc. Personnel from the 249th Engineer Battalion (Prime Power) will be reported separately from other nonorganic military personnel.) The "Other" category includes contractors, and personnel from non-USACE DOD or Federal agencies.						
Figure 4-7. Format for Appendix C to Basic SITREP						

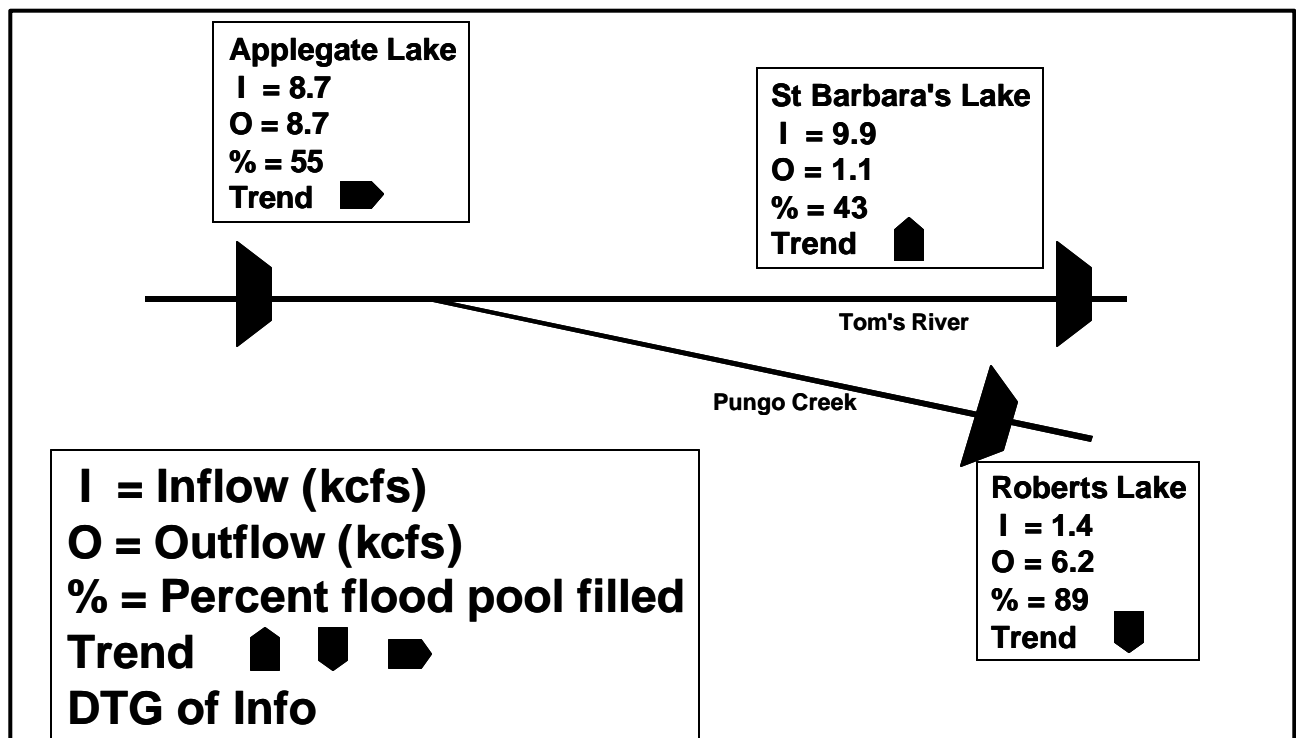


Figure 4-8. Format for Appendix D to Basic SITREP

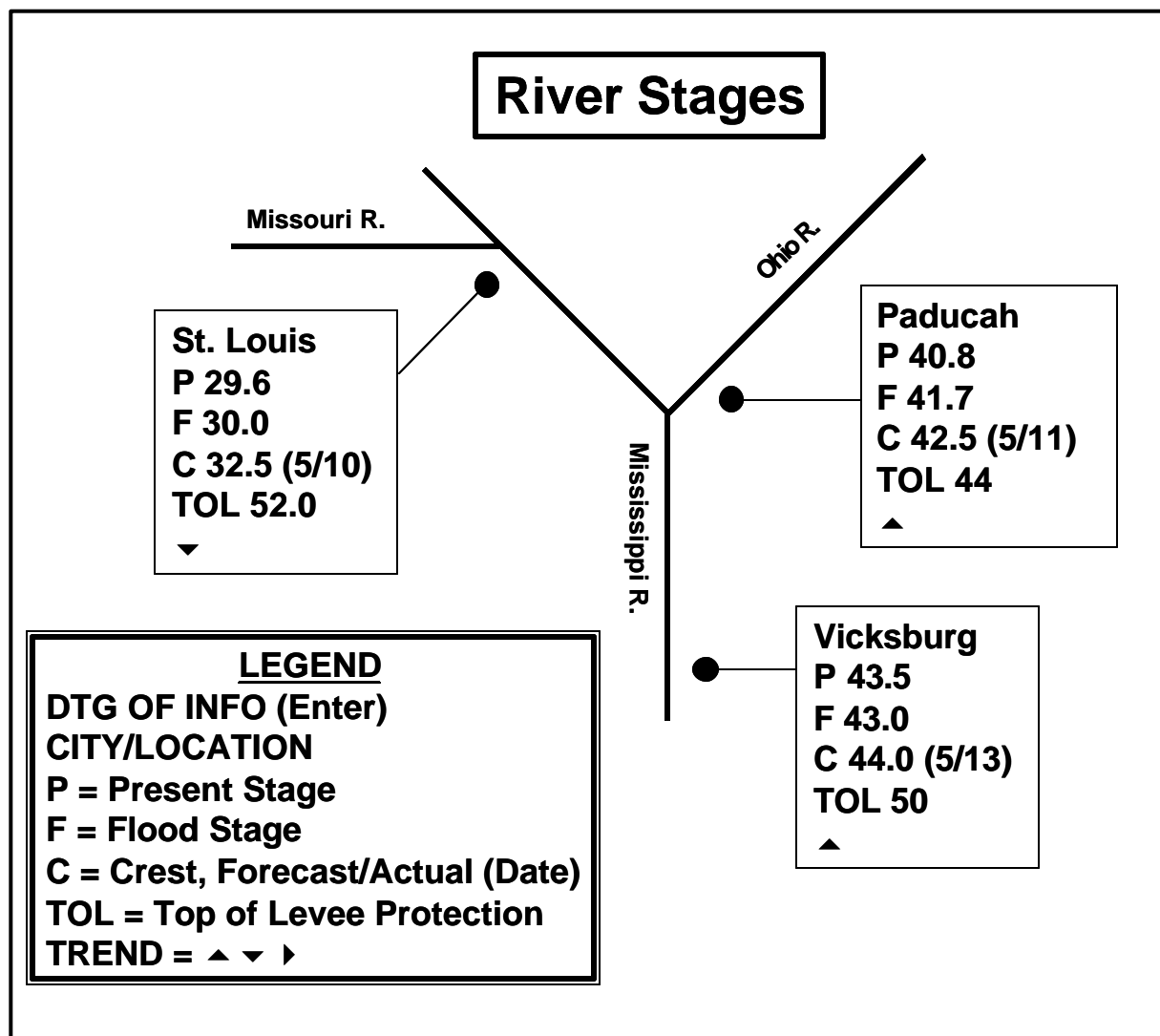


Figure 4-9. Format for Appendix E to Basic SITREP

4-16. Disaster Recovery SITREP's. Many PL 84-99 and Stafford Act operations involve long term recovery activities such as levee rehabilitations or debris disposal missions. As the response requirements for a disaster diminish, recovery activities become the focus of effort. While the immediate crisis has been resolved, there is a continuing need to effectively manage the recovery effort. This need will be accomplished through the Disaster Recovery SITREP, which is a continuation of the situation reports with a focus on recovery activities. Guidance in paragraph 4-15. above will be followed, except as modified by this paragraph, or specific HQUSACE-issued guidance.

a. Format. The format for the Disaster Recovery Report is at Figure 4-10. Appendices involving activities that are either completed, or no longer pertinent to the management process, may be omitted.

b. Frequency.

(1) Through Physical Completion. Until all FCW rehabilitation projects and all FEMA missions are physically completed, Disaster Recovery SITREP's will be provided twice monthly, on the first business day of each month, and the 15th of each month (or the last business day prior to the 15th if the 15th is a weekend or holiday). If necessary or directed by HQUSACE, report submission times and frequencies may be changed. For the purpose of Disaster Recovery SITREP's, FCW rehabilitation projects are considered physically complete when all construction efforts on the project are completed, except for minor cleanup; seeding or sod placement; punch list items; or additional pump station or relief well work. FEMA missions are considered physically completed when all contractual commitments are completed, with the exception of site restoration activities for debris reduction.

(2) Through Fiscal Completion. Until fiscal closeout of all missions and rehabilitation work has been completed, but after physical completion of all rehabilitation projects and FEMA missions, Disaster Recovery SITREP's will be provided on at least a monthly basis. Disaster Recovery SITREP's will be submitted on the 15th of each month, or the last work day prior to the 15th if the 15th is a weekend or holiday.

c. Additional Distribution. When appropriate, Disaster Recovery SITREP's will be furnished to interested local congressional offices, and other agencies as needed.

d. FCW Rehabilitation Status Format. The format for Appendix H, FCW Rehabilitation Status, is at Figure 4-11.

DISASTER RECOVERY SITREP FORMAT	
1. SITREP:	The phrase "SITREP - Disaster Recovery Report" followed by the District name, date, local time, and Zulu Date-Time-Group (DTG)
2. DISASTER NR.:	The HQUSACE-assigned number for this disaster event. <i>(Same as was used on earlier SITREP's for the event)</i>
3. CATEGORY:	Short description of the type of disaster. <i>(Same as was used on earlier SITREP's for the event)</i> .
4. EVENT NAME:	The assigned name of the event. <i>(Same as was used on earlier SITREP's for the event)</i>
5. SEQUENCE NR.:	Continue sequential numbering from previous SITREP's. For the last report, use the next sequential number followed by "and Final".
6. SITUATION:	A summary of the situation that answers the questions what, where, and when. This paragraph may be a narrative or in bullet format.
7. PAST 24:	A narrative or bullet form statement of USACE actions, activities, and situations that have occurred in the previous 24 hours, or since the last SITREP.
8. NEXT 24:	A narrative of planned and anticipated actions for the next 24 hours or the next reporting period.
9. OTHER EFFORTS:	Commander's Assessment, if needed. A summarization of efforts taken by other agencies, state/local governments, and organizations. Examples include FEMA, military agencies, Red Cross, etc.
10. APPENDICES - MANDATORY	A. FCCE Funds B. FEMA Funds (by mission assignment) C. Personnel
11. APPENDICES - AS NEEDED	D, E, F. (See Figure 4-4.) G. FEMA Mission Assignments - Operational Report H. FCW Rehab Status I. - Z. Others

Figure 4-10. Format for Disaster Recovery SITREP

FCW Rehabilitation Status												
#	FCW Name	Dist	Active Project?	Report Start Date	Report to MSC	Report Approval	E&D Date	Cont Award	Const Start	Const Compl	Fed Cost	Remarks
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
										Total		

FIGURE 4-11. Format for Appendix H to Disaster Recovery SITREP

4-17. Spot Reports (SPOTREP's). SPOTREP's are used to provide new information or update existing information when the urgency of reporting requires immediate transmission to higher headquarters, and cannot wait for the next scheduled SITREP submission. Information of a critical nature should be immediately transmitted via a SPOTREP, without necessarily waiting for all pertinent details. However, the submitting organization must ensure that information provided in the SPOTREP is accurate (based on the best available information) prior to submission. Figure 4-12 provides the format for SPOTREP's. SPOTREP's will be numbered using the number of the last submitted SITREP, followed by a lower case letter in alphabetical order starting with "a". For example, the third SPOTREP submitted after SITREP 4 would be numbered SPOTREP 4.c.

SPOTREP FORMAT	
1. SPOTREP:	The word "SPOTREP" followed by the District name, date, local time, and Zulu Date-Time-Group (DTG)
2. DISASTER NR:	The HQUSACE-assigned number for this disaster event, from the SITREP.
3. CATEGORY:	Category used in the corresponding SITREP.
4. EVENT NAME:	The assigned name of the event.
5. SEQUENCE NR:	Use the number of the last submitted SITREP, followed by a lower case letter in alphabetical order starting with "a".
6. Information	Report information using any appropriate format, to include narrative, picture, graph, or chart.
Figure 4-12. Format for SPOTREP Submission	

4-18. After Action Reports and Procedures.

a. Critique Sessions. Following major events, an after action critique session to discuss operation successes and lessons learned may be conducted. Critique sessions may be requested by divisions or districts, may be at the request of HQUSACE, or may be combined with a joint FEMA-USACE session. Funding for extraordinary costs of critique sessions will be requested under Class 220.

b. After Action Report (AAR). The AAR is a summary of disaster operations and interagency coordination. Its intended use is to improve the conduct of future operations, as well as serving as the consolidated historical record of the disaster. The AAR will include a discussion of the emergency situation, the types of assistance provided, coordination with FEMA and other agencies, effectiveness of the response, strengths and weaknesses of the operation, specific problems and suggested solutions, general appraisal and comments, conclusions, and recommendations. The format is at Figure 4-13. Explanatory information is provided at Figure 4-14. The report will be submitted through

the MSC to Commander, USACE (CECW-OE and CECS-O), within 120 days after most emergency activities (or most FCW rehabilitation projects, if there are many such projects) are complete. Three copies of the AAR will be furnished to the Readiness Support Center. Copies of the AAR will also be furnished to other agencies and organizations as appropriate. MSC's may consolidate multi-district events into a single AAR. AAR's are required for:

(a) Any event involving over \$500,000 in total FCCE expenditures, excluding investigations, AAR expenses, and Category 300 activities.

(b) Any event with Category 300 expenditures in excess of \$1,000,000.

(c) Any other event when directed by MSC or HQUSACE.

c. Funding. ER 11-1-320 establishes funding procedures for After Action Reporting activities.

4-19. Disaster Audit. At the request of HQUSACE, a disaster audit may be performed on USACE emergency operations. The audit will include an analysis of the nature of the work performed and emergency funding by category/class, and an evaluation of contracting methods used during all phases of the disaster response and recovery. Of particular importance is the manner in which the scope of work of emergency contracts was defined by the contracting officer, and what monetary controls were used to determine needs for increases in funds.

<p style="text-align: center;">AFTER ACTION REPORT FORMAT for</p> <p style="text-align: center;">_____ (name of event) USACE Disaster Number _____</p> <p>Part I. Cover Letter.</p> <p>Part II. After Action Report.</p> <p>Table of Contents</p> <p>Executive Summary</p> <p>Chapter 1. General background information, to include</p> <ul style="list-style-type: none">a. the authority to prepare the report.b. the impacted area, basin topography, weather conditions, magnitude of the earthquake, etc.c. flood damage reduction systems, particularly reservoirs. <p>Chapter 2. Event specific information, including antecedent conditions, weather, pool stages, river conditions, snowpack, etc. Place voluminous tabular data, maps, etc., in an appendix.</p> <p>Chapter 3. Emergency operations of the Corps element(s) involved.</p> <p>Chapter 4. Commander's assessment of the division/district's operational response.</p> <p>Chapters 5. - X. As needed.</p> <p>Part III. Appendices.</p> <p>Appendix A. Cost information.</p> <p>Appendix B. PL 84-99: Separate projects and major activities.</p> <p>Appendix C. FEMA Mission Assignments.</p> <p>Appendix D-X. As needed.</p> <p>Appendix Y. Lessons Learned.</p> <p>Appendix Z. Distribution.</p>

Figure 4-13. Format for After Action Report

Part I. Cover Letter: From commander of element preparing AAR to next higher commander.

Part II. After Action Report

Table of Contents: Self explanatory.

Executive Summary: One to two page executive summary of the AAR. Limited to two pages in length.

Chapter 1. This chapter should be prepared in sufficient detail so that a historical researcher, years in the future, will be able to understand what happened.

Chapter 2. Self explanatory.

Chapter 3. Either a straight chronological approach, or chronological for each division/district involved, may be used. This chapter should also include appropriate reference to FEMA operations. Divide into sections if necessary.

Chapter 4. Self explanatory. If a division level AAR, commander's assessments for each participating district may be included. If a multi-division AAR, commander's assessments for each division are required.

Chapter 5. - X. Self explanatory.

Part III. Appendices to the After Action Report

Appendix A. A cost summary and cost breakdowns for the event will be provided. The first figure or table presented will be a one page summary of all costs (e.g., FCCE, FEMA, O&M Gen, etc.) of the event's operations. The second and third figures/tables will be separate summaries of FCCE costs (by category/class) and ESF-3 costs (by mission), respectively, with explanatory remarks. For FCCE costs, costs to undertake major (i.e., costing more than \$500,000) Advance Measures or rehabilitation projects will be shown separately. These cost figures will also be further broken down by state. Other figures, charts, and tables will be presented as needed.

Appendix B. Each separate project and major activity (e.g., a significant floodfight) within Categories 200-500 will be addressed in narrative format. This may be either in a single appendix for a small event, or in individual tabs to the appendix when large numbers of projects/efforts are involved.

Appendix C. Each ESF-3 mission assignment will be addressed in a separate paragraph or tab in the appendix.

Appendix D-X. Self explanatory.

Appendix Y. Lessons Learned will be in the following format, and sequentially numbered:

- Issue.
- Discussion.
- Recommendation.
- Responsible office for correcting/addressing the situation.

Appendix Z. Distribution. Self explanatory.

Figure 4-14. Explanatory Guidance for AAR Preparation

EP 500-1-1
30 Sep 01

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